# UNITED STATES PATENT AND TRADEMARK OFFICE

| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|---|---|---|---|---|
| 09/489,161 | 01/21/2000 | Martin Lee Schanze | 041-470-L | 5455 |

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| EXAMINER |
|---|
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| ART UNIT | PAPER NUMBER |
|---|---|
| 2134 | 8 |

DATE MAILED: 10/20/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

| | **Application No.** | **Applicant(s)** |
|---|---|---|
| **Office Action Summary** | 09/489,161 | SCHANZE ET AL. |
| | **Examiner** | **Art Unit** | |
| | Jonathan R Adams | 2134 | |

*-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --*

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE _3_ MONTH(S) FROM
THE MAILING DATE OF THIS COMMUNICATION.
- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed
  after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
  Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any
  earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

1)☒ Responsive to communication(s) filed on _06 February 2004_.

2a)☒ This action is **FINAL**.          2b)☐ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is
closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

4)☐ Claim(s) _____ is/are pending in the application.

    4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) _1-7, 11, 13-15_ is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

**Application Papers**

9)☐ The specification is objected to by the Examiner.

10)☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☐ objected to by the Examiner.

    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

    Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

    a)☐ All   b)☐ Some * c)☐ None of:

      1.☐ Certified copies of the priority documents have been received.

      2.☐ Certified copies of the priority documents have been received in Application No. _____.

      3.☐ Copies of the certified copies of the priority documents have been received in this National Stage
application from the International Bureau (PCT Rule 17.2(a)).

    * See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

1)☐ Notice of References Cited (PTO-892)
2)☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3)☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
    Paper No(s)/Mail Date _____.

4)☐ Interview Summary (PTO-413)
    Paper No(s)/Mail Date. _____ .
5)☐ Notice of Informal Patent Application (PTO-152)
6)☐ Other: _____ .

## DETAILED ACTION

1.      This action is responsive to communications: amendment filed 4/15/2004 to the

application filed 1/21/2000.

- Claims 8, 9, 10, and 12 have been cancelled.

- Claim 7 has been amended to incorporate subject matter of previously cancelled

  claims 8, 9, and 10.

- Claims 1, 3, and 15 have been amended to correct punctuation and grammar

  errors.

### *Response to Arguments*

2.      Applicant's arguments filed 2/6/2004 have been fully considered but they are not

persuasive.

3.      As to claim(s) 1-3, 7, and 11:

The applicant contends that the Seitz reference has no concept of implementation as

indicated in applicants' Figs. 15, 16, and 17.  The relationship of interconnecting

modules of applicants' invention is not stated in the claimed subject matter.

4.      The applicant contends that the Seitz reference works to handle messages

asynchronously between applications in the client server network which the applicant

states to be different from handling of messages between am application and a server

in a client server network.  An application is synonymous with software and can be

represented on any platform including server software.  Further the applicant states that

the applicants system is specific to data transfer involving a specialized Unisys Server.

This is not stated in the claimed subject matter.

5.      The applicant contends that the Seitz reference pertains to generic message

exchange whereas the applicants invention is a specific set of data streams unique to

Kerberos.  The use of Kerberos in conjunction with generic message exchange is stated

in the Seitz reference, hence including the data streams specific to Kerberos.

6.      The applicant contends that the Seitz reference data/message path is client-

server-client, whereas the applicants' invention uses a client-server-server

data/message path.  The Seitz reference states that in conjunction with the client-server

method of authenticate, the Kerberos protocol may further be used.  The defining

reference for Kerberos, "The Kerberos Network Authentication Protocol" teaches the

use of a distinct Kerberos server performing authentication.

7.      As to claim(s) 4-6 and 13-15:

The applicant contends that the Schanze reference is inoperable for examiners

consideration because of common ownership.  However, this is not the case, common

ownership has no bearing on 102(a)-type art.

## *Claim Rejections - 35 USC § 102*

8.     The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that

form the basis for the rejections under this section made in this Office action:

> A person shall be entitled to a patent unless –
>
> (b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

9.     Claims 1-3, 7, and 11 rejected under 35 U.S.C. 102(b) as being anticipated by

Seitz patent number 5,805,823 (hereafter referred to as '823). The reference, "The

Kerberos Network Authentication Service" is used as a detailed description of Kerberos,

and will hereafter be referred to as KNAS.

   1.  As to claims 1-3, 7, and 11:

   '823 teaches the claimed invention comprising:

   a.  System and Method ('823, Abstract, Line 1 et seq.)

   b.  Asynchronous authentication ... / Asynchronous data exchange ('823,
       Abstract, Line 2), Asynchronous inbound event ('823, Col. 6, Line 47 et
       seq.), Authenticate ('823, Col. 19, Line 23 et seq.)

   c.  Kerberos Domain ... / Kerberos ('823, Col. 19, Line 33 et seq.)

   d.  Client-user means ... , Originating terminal ..., Multiple client-users... /
       Client computers('823, Col. 3, Line 53 et seq.)

   e.  Requesting authentication... / A client sends a request ...(KNAS,
       Introduction, paragraph 2), (KNAS section 3.1)

    f.  Client-server means... / Each Client application ... ('823, Col. 3, Line 59 et

        seq.)

    g.  Kerberos server means... / Kerberos ('823, Col. 19, Line 33 et seq.) –

        server always present within Kerberos environment / Kerberos

        Authentication server ...(KNAS section 3.1)

    h.  Credentials... / credentials (KNAS, Introduction, paragraph 2) , (KNAS

        section 3.1)

    i.  Authentication response... / AS responds... (KNAS, Introduction,

        paragraph 2), (KNAS section 3.1)

    j.  Ticket Granting Service (KNAS section 3.1).

    k.  Transmit authentication signal ... to originating terminal. " / ... to

        authenticate the client (KNAS, Introduction, paragraph 2)

### *Claim Rejections - 35 USC § 103*

10.    The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all

obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

11.    Claims 4-6 and 13-15 rejected under 35 U.S.C. 103(a) as being unpatentable

over Seitz (5,805,823) as applied to claims 1 and 9 above, and further in view of

Schanze (6,003,136) here after referred to as '136.

12.    '823 teaches the use of asynchronous authentication of multiple concurrent

clients in a Kerberos environment to maximize network efficiency.  '823 does not teach

specifically the use of a Master Control Program, General Security Service Library, and

Kerberos Support Library. '136 teaches the use of a Master Control Program, and ·

General Security Service Library to develop an asynchronous response message for a

client in a Kerberos environment.  '136 also teaches the use of a Kerberos Support

Library to obtain and store credential information (Col 16, line 13 et seq.)  It would have

been obvious to a person of ordinary skill in the art at the time of the invention, to

incorporate the invention of '136 into the system of '823 by using the specific program

means listed in '136 to implement the Kerberos Authenticate method mentioned in '823

('823, Col. 19, Line 23 et seq.). One of ordinary skill in the art would have been ·

motivated to incorporate '136 because the program means given in '136 is a well known

Kerberos authentication implementation.  '136 suggests that the overhead associated

with Kerberos systems may be obviated through the use of programs that allow

continued processing of request. (Col. 2, lines 35-45; Col. 3, lines 10-35)

13.    As to claims 4-6 and 13-15:

        l.    System and Method ('823, Abstract, Line 1 et seq.)

        m.    Kerberos environment / Kerberos ('823, Col. 19, Line 33 et seq.)

        n.    Client user, Client terminal means / Client computers ('823, Col. 3, Line 53

            et seq.)

        o.    Authentication request / A client sends a request ...(KNAS, Introduction,

            paragraph 2), (KNAS section 3.1)

p. Message response without suspending client service / Asynchronous data exchange ('823, Abstract, Line 2 et seq.), Asynchronous inbound event ('823, Col. 6, Line 47 et seq.), Authenticate ('823, Col. 19, Line 23 et seq.)

q. Original request for validation / A client sends a request ...(KNAS, Introduction, paragraph 2), (KNAS section 3.1)

r. Program means ... for transmitting ... / Fig. 3, item 40 and 42 of '136

s. Master Control Program / Fig. 3, item 60 of '136

t. Kerberos Support Library / Fig. 2, item 34 of '136

u. General Security Service Library / Fig. 2, item 38 of '136

v. Kerberos server / Fig. 2, item 20 of '136

w. Credential information / credentials (KNAS, Introduction, paragraph 2) , (KNAS section 3.1)

x. Elicit authentication information ... ticket granting service / Fig. 5, item B2, B3

y. Communication management program / Communication Management System ('136, Col. 4, Line 38 et seq.)

z. Menu assisted resource control program / MARC ('136, Col. 4, Line 44 et seq.)

aa. Session key (KNAS section 3.1)

bb. Generating a message... successfully completed / Output: success or error code ('823, Col. 19, Line 28 et seq.)

cc. Terminating the session / disconnect ('823, Col. 19, Line 5 et seq.)

## *Conclusion*

14.    **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time

policy as set forth in 37 CFR 1.136(a).

15.    A shortened statutory period for reply to this final action is set to expire THREE

MONTHS from the mailing date of this action.  In the event a first reply is filed within

TWO MONTHS of the mailing date of this final action and the advisory action is not

mailed until after the end of the THREE-MONTH shortened statutory period, then the

shortened statutory period will expire on the date the advisory action is mailed, and any

extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of

the advisory action.  In no event, however, will the statutory period for reply expire later

than SIX MONTHS from the mailing date of this final action.

16.    Any inquiry concerning this communication or earlier communications from the

examiner should be directed to Jonathan R Adams whose telephone number is

(571)272-3832 after 10/04.  The examiner can normally be reached on Monday – Friday

from 10am to 6pm.

17.    If attempts to reach the examiner by telephone are unsuccessful, the examiner's

supervisor, Gregory Morse, can be reached on (703) 308-4789.  The fax phone number

for the organization where this application or proceeding is assigned is (703) 872-9306.

Any inquiry of a general nature or relating to the status of this application or proceeding

should be directed to the receptionist whose telephone number is (703) 305-3900.

GREGORY MORSE
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TECHNOLOGY CENTER 2100